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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/975,458	10/11/2001	Gordon T. Brown	47781-6	9828

7590 06/02/2009
Alan G. Towner
Pietragallo, Bosick & Gordon
One Oxford Centre, 38th Floor
301 Grant Street
Pittsburgh, PA 15219

EXAMINER

SHRESTHA, BUENDRA K

ART UNIT	PAPER NUMBER
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3591

MAIL DATE	DELIVERY MODE
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06/02/2009

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary

Application No.	Applicant(s)	
09/975,458	BROWN, GORDON T.	
Examiner	Art Unit	
BIJENDRA K. SHRESTHA	3691	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 19 August 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 28-70 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 28-70 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date 06/19/2002, 02/27/2003, 12/22/2003, 10/28/2004
and 10/07/2005
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____

DETAILED ACTION

In view of the Appeal Brief filed on 08/19/2005, PROSECUTION IS HEREBY REOPENED. A new grounds of rejection is set forth below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,

(2) initiate a new appeal by filing a notice of appeal under 37 CFR 41.31 followed by an appeal brief under 37 CFR 41.37. The previously paid notice of appeal fee and appeal brief fee can be applied to the new appeal. If, however, the appeal fees set forth in 37 CFR 41.20 have been increased since they were previously paid, then appellant must pay the difference between the increased fees and the amount previously paid.

A Supervisory Patent Examiner (SPE) has approved of reopening prosecution by signing below:

/Alexander Kalinowski/

Supervisor Patent Examiner, 3691

Priority

Acknowledgement is made that application is a CON of application 08/975,458
09/28/1994 abandoned.

Double Patenting

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 845 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

1. Claims 28 and 35-50 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-7, 14-17 and 21-27 of copending Application No. 09/975,457. Although the conflicting claims are not identical, they are not patentably distinct from each other because '457 application claims 1-7, 14-17 and 21-27 teach all the elements in claims 28 and 35-50 in the instant application.

This is a provisional double patenting rejection since the conflicting claims have not yet been patented.

As per Claims 28 and 35-50 of instant application, claims 1-7, 14-17 and 21-27 of applications '457 teach method for providing automated accounting system for an entity that include establishing a file for the entity, providing data inputs and providing access to data file for performing the transactions. Claims 35-44 of instant application is similar to claims 2-7 and 14-17 respectively of the application '457. Similarly claims 45-50 is similar to claims 21-27 of the application '457.

2. Claims 28, 35-51 and 67-69 are rejected on the ground of nonstatutory double patenting over claims 1-18 of U. S. Patent No. 5,875,435 *since the claims, if allowed, would improperly extend the "right to exclude" already granted in the patent.*

The subject matter claimed in the instant application is fully disclosed in the patent and is covered by the patent since the patent and the application are claiming common subject matter, as follows: *a method for providing financial accounting reports statements for entity comprising a menu of standardized codes, conducting separate financial transaction, associating standardized codes, sorting transaction and generating accounting reports.*

As per claims 28, 51 and 69, claims 1 of patent '435 teach a method for providing financial accounting reports statements for entity comprising a menu of standardized codes, conducting separate financial transaction, associating standardized codes, sorting transaction and generating accounting reports. Claims 35-44 of instant application is similar to claims 2-11 of the patent '435.

As per claims 45, 59 and 67-69, claims 12-13 of patent '435 teach first computer (financial accounting computer), second computer (financial transaction computer), transferring data between the computers and providing access to perform one or more activities. Claims 46-50 in instant application is similar to claims 14-18 of the patent '435.

Claim Rejections - 35 USC § 101

3. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 28-44, 51-54, 63-66 and 70 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

Regarding claims 28-44 and 51-54, as best understood, it appears that the claimed method steps could simply be performed by mental process alone and are not statutory. The independent claims 28 and 51 are directed towards steps of "providing", "associating", "transmitting" and "sorting". Since the claims are directed to a process without including another statutory class of invention (i.e. machine, manufacture, or composition of matter), these claims fall within the scope of human intelligence alone, and are non-statutory.

Based on Supreme Court precedent, a proper process must be tied to another statutory class or transform underlying subject matter to a different state or thing (*Diamond v. Diehr*, 450 U.S. 175, 184 (1981); *Parker v. Flook*, 437 U.S. 584, 588 n.9 (1978); *Gottschalk v. Benson*, 409 U.S. 63, 70 (1972); *Cochrane v. Deener*, 94 U.S. 780, 787-88 (1876)). Since neither of these requirements is met by the claim, the method is not considered a patent eligible process under 35 U.S.C. 101. To qualify as a statutory process, the claim should positively recite the other statutory class to which it is tied, for example by identifying the apparatus that accomplished the method steps or positively reciting the subject matter that is being transformed, for example by identifying the material that is being changed to a different state.

As to claims 63-66 and 70, the claims are directed to data signal embodied in a carrier wave. The data signal bearing medium is of non-statutory forms and therefore non-statutory. Appropriate correction is required.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 28-39 and 41-70 rejected under 35 U.S.C. 102(b) as being anticipated by Nelson, U.S. patent No. 4,823,265 (reference A in attached PTO-892).

6. As per claim 28, 51, 55, 63 Nelson teaches a method of providing financial accounting statements for a plurality of users, comprising:

providing transaction codes, including standardized codes representing financial transaction information (see Fig. 6, step 101 and step 108; where buyer's code and product code are entered);

each of the users conducting with a plurality of other entities separate financial transactions (see Fig. 1; where plurality of customers conduct separate financial transaction of purchasing renewable option for different securities);

associating at least one of the transaction codes at about the time when funds are transferred or instructions are given for transfer to complete each financial

transaction (see Fig. 6; where each transaction is represented by buyer's code and code of security type (put/call) for completing buying renewable options);

transmitting a record of each transaction and the at least one transaction code via an open network to at least one file (see Fig. 1 and 4a; where each transaction requested by buyer through terminal is transmitted to central processing system 30 and stored in a data storage); and

sorting the transactions in the at least one file and producing an accounting statement for each user derived from the financial transaction information including income, expense, asset and/or liability information for each user (see Fig. 5b, column 6, lines 26-49).

7. As per claim 29, 52, 56 and 64, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein

the separate financial transactions include the transfer of funds and the instructions for transfer of funds (see Fig. 6A, step 172).

8. As per claim 30, 53, 57 and 65, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein

the at least one transaction code is selected by at least one of the users (see Fig. 6, step 102).

9. As per claim 31, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein

the at least one transaction code is selected by at least one of the other entities (Examiner notes that it is well known at the time the invention was made transaction

code is selected by the counterparty such as prepaid phone card where transaction code is established by the phone company).

10. As per claim 32, 54, 58, 66, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein

the standardized codes comprise financial transaction codes (see Fig. 6; step 108).

11. As per claim 33, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein

the transmission of the record of each transaction and at least one transaction code is initiated at about the time when funds are transferred or instructions are given for the transfer of funds (see Fig. 6a; column 9, lines 26-29, 42-44; where transaction is updated when customer accepts the offer).

12. As per claim 34, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein

the transaction codes are provided from a menu (see Fig. 6, step 108; where transaction codes Put or Call selected from the menu).

13. As per claim 35, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein including

entering into said file information regarding at least one of the users (see Fig. 6A, step 172).

14. As per claim 36, Nelson teaches claim 35 as described above. Nelson further teaches the method wherein

said information includes beginning balances for income, expenses, assets, liabilities and/or bank accounts (see Fig. 5b).

15. As per claim 37, Nelson teaches claim 36 as described above. Nelson further teaches the method wherein

including entering into said file coding information appropriate to at least one of the users (see Fig. 5b; where customer George Nelson transaction for period Jan. 31, 1987 – Feb 28, 1987 is entered into the account statement).

16. As per claim 38, Nelson teaches claim 28 as described above. Nelson further teaches the method wherein

including providing said users and/or agents of said users pass codes to permit access to said at least one file (see column 6, lines 26-30; where account statement is available to customer via different mean including the display; Examiner notes it well known in art of invention that access to information could be restricted by customer requiring to enter pass code).

17. As per claim 39, Nelson teaches claim 28 as described above. Nelson further teaches the method including:

providing a subsidiary ledger for each of said other entities (see Fig. 4a; where transaction by transaction of different customer are recorded in a file which examiner interprets as a subsidiary ledger)and

transferring selected subsidiary ledgers from said other entities to said at least one file (see Fig. 4b; where transaction of specific customer transferred based on

security owned by the customer which is generated into account statement based on date of transaction as shown in Fig. 5b).

18. As per claim 41, Nelson teaches claim 28 as described above. Nelson further teaches the method including

providing a funds transfer facility to facilitate transfer of funds to and from said users and said other entities (see Fig. 6A, step 172).

19. As per claim 42, Nelson teaches claim 41 as described above. Nelson further teaches the method including:

employing said funds transfer facility to receive an instruction to transfer funds; and transferring funds from at least one of said users to said other entities based on said instruction (see Fig. 6A; when fund is transferred after acceptance is confirmed).

20. As per claim 43, Nelson teaches claim 41 as described above. Nelson further teaches the method including

employing said funds transfer facility to transmit data related to said transfer of funds (see Fig. 6A, step 172; where fund is transferred by debiting buyer's account and updating the account).

21. As per claim 44, Nelson teaches claim 41 as described above. Nelson further teaches the method including

employing said funds transfer facility to adjust current records (see Fig. 6A; column 9, lines 42-43).

22. As per claim 45, 67, 69 and 70, Nelson teaches a system, method and computer readable medium containing instruction for providing financial accounting statements for a first entity, comprising:

a first computer having at least one file from which an accounting statement may be generated (see Finance Dept. Terminal (42));

a second computer for receiving data inputs, said data inputs including electronically recorded financial -transaction information made between said first entity and a second entity (see Fig. 2, Central Processing System (30), Record Storage (50);

an open communication network for transferring said data inputs from said second computer to said file of said first computer (see Fig. 1, column 3, lines 7-12, 20-24; where different terminal are linked to processing system 20 through data communication link)

means for performing two or more activities selected from the group consisting of entering, deleting, reviewing, adjusting and processing said data inputs, and producing said accounting statement derived from the financial transaction information including income, expense, asset and/or liability information for the first entity (see Fig. 2, Central Processing System (30); column 3, lines 65-67 to column 1-12; column 6, lines 26-31; column 9, lines 43-50).

23. As per claim 46, Nelson teaches claim 45 as described above. Nelson further teaches the system, including:

a first said file in said first computer for receiving accrual accounting data inputs (see Fig. 4c, 4d and 5a); and

a second said file in said first computer for receiving cash accounting data inputs (see Fig. 5b).

24. As per claim 47 and 68, Nelson teaches claim 45 as described above. Nelson further teaches including

means for transferring funds from said first entity to said second entity (see Fig. 6A, step 172).

25. As per claim 48, Nelson teaches claim 45 as described above. Nelson further teaches the system including

said second computer comprises means for electronically recording, collecting, processing, storing and transmitting said financial transactions (see Fig. 1 and Fig. 2. Central Processing System (30); column 3, lines 65-67 to column 1-12; column 6, lines 26-31; column 9, lines 43-50).

26. As per claim 49, Nelson teaches claim 45 as described above. Nelson further teaches the system wherein

said first computer is a personal computer (see Fig. 1, Finance Dept. Terminal (42) is a personal computer printing billings and statements).

27. As per claim 50, Nelson teaches claim 45 as described above. Nelson further teaches the system wherein

said second computer is a personal computer (see Fig. 1, Central Processing System is personal computer processing input data).

28. As per claim 59, Nelson teaches an apparatus for producing an accounting statement for a plurality of users comprising:

means for providing transaction codes, including standardized codes representing financial transaction information (see Fig. 1, User Terminal (10); Fig. 6; where each transaction is represented by buyer's code and code of security type (put/call) for completing buying renewable options);

means for each of the users to conduct with a plurality of other entities separate financial transactions (see Fig. 1, securities market database (32); where plurality of customers conduct separate financial transaction of purchasing renewable option for different securities);

means for associating at least one of the transaction codes at about the time when funds are transferred or instructions are given for transfer to complete each financial transaction (see Fig. 1, Central Processing System (30); Fig. 6; where each transaction is represented by buyer's code and code of security type (put/call) for completing buying renewable options);

means for transmitting a record of each transaction and the at least one transaction code via an open network to at least one file (see Fig. 1; User terminal (10) and 4a; where each transaction requested by buyer through terminal is transmitted to central processing system 30 and stored in a data storage); and

means for sorting the transactions in the at least one file (see Fig. 2, Central Processing system (30) and producing an accounting statement for each user derived from the financial transaction information including income, expense, and/or liability

information for each user (see Fig. 1, Finance Dept. Terminal (42); Fig. 5b, column 6, lines 26-49).

29. As per claim 60, Nelson teaches claim 59 as described above. Claim 60 is rejected under same rational as claim 29 described above.

30. As per claim 61, Nelson teaches claim 59 as described above. Claim 61 is rejected under same rational as claim 30 described above.

31. As per claim 62, Nelson teaches claim 59 as described above. Claim 62 is rejected under same rational as claim 32 described above.

Claim Rejections - 35 USC § 103

32. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

33. Claim 40 is rejected under 35 U.S.C. 103(a) as being unpatentable Nelson, U.S. Patent No. 4,823,265 (reference A in attached PTO-892) in view of Marks, U.S. Patent No. 5,117,356 (reference B in attached PTO-892).

34. As per claim 40, Nelson teaches claim 39 as described above.

Nelson does not teach providing access to said subsidiary ledger for said users and/or agents of said users, whereby said users and/or agents can perform one or more activities selected from the group consisting of entering, deleting, reviewing, adjusting and processing said data inputs in said selected subsidiary ledgers .

Marks teaches use of account control table that contain symbolic codes used by record keeping procedure that authorize, control the creation and updating of ledger account and transaction record data files (Marks, abstract).

Therefore, it would be have been obvious to one of ordinary skill in the art at the time the invention was made to add providing access to said subsidiary ledger for said users and/or agents of said users, whereby said users and/or agents can perform one or more activities selected from the group consisting of entering, deleting, reviewing, adjusting and processing said data inputs in said selected subsidiary ledgers of Nelson because Marks teaches that adding above features would enable update ledger using symbolic codes (Marks, column 2, lines 50-57).

Conclusion

35. The prior art made of record and not relied upon is considered pertinent to applicant's disclosures. Applicant is required under 37 CFR 1.111(c) to consider references fully when responding to this action.

The following are pertinent to current invention, though not relied upon:

Braun et al. (U.S. Patent No. 4,321,672) teach financial data processing system.

Earle (U.S. Patent No. 5,262,942) teaches financial transaction network.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Bijendra K. Shrestha whose telephone number is (571)

270-1374. The examiner can normally be reached on 7:00AM-4:30PM (Monday-Friday); 2nd Friday OFF.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Alexander Kalinowski/
Supervisory Patent Examiner, Art
Unit 3691

bks/3691
05/02/2009

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FORM

Application Number	09/975,458
Filing Date	10/11/2001
First Named Inventor	Gordon T. Brown
Group Art Unit	2683
Examiner Name	
Attorney Docket Number	47781-6

Total Number of Pages in This Submission

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Technology Center 2600

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): - Form PTO/SB/08A - Form PTO/SB/08B - 5 references
Remarks		- return postcard

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Alan G. Townner Pietragallo, Bosick & Gordon
Signature	<i>Alan G. Townner</i>
Date	06/12/2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 06/12/2002

Typed or printed name	Alan G. Townner		
Signature	<i>Alan G. Townner</i>	Date	06/12/2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Gordon T. Brown

Serial No.: 09/975,458

Filed: October 11, 2001

Group Art Unit 2683



AUTOMATED ACCOUNTING
SYSTEM

Attorney Docket No. 47781-6

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JUN 25 2002

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Technology Center 2600

June 12, 2002

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the provisions of 37 CFR Sections 1.56, 1.97 and 1.98, Applicant submits herewith copies of the documents cited on the attached Form PTO/SB/08A and Form PTO/SB/08B for consideration during prosecution of this application.

The cited U.S. Application Serial No. 09/975,457 (which includes subsequent amendments) was filed on the same day as the present application. Both applications name the same inventor and are assigned to Noah Systems, Inc. The remaining documents cited in this Statement were cited by Examiner Cosimano in an Office Action dated February 20, 2002 for the 09/975,457 application.

This Statement is filed solely for the purpose of complying with the pertinent rules of the Office and is not intended to be a substitute for an independent evaluation by the Examiner of the art cited or an independent search by the Examiner, and no representation of any nature is made or intended by the filing of this Statement.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Alan G. Towner".

Alan G. Towner
Registration No. 32,949
Pietragallo, Bosick & Gordon
One Oxford Centre, 38th Floor
301 Grant Street
Pittsburgh, PA 15219
Attorney for Applicant

(412) 263-4340



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GROUP ART UNIT 2683

The dating stamp of the Patent Office on this card will be taken as an indication that the accompanying paper was filed.

- Transmittal Form
- Information Disclosure Statement
- PTO/SB/08A Form (3)
- PTO/SB/08B Form
- Copies of 45 references

Applicant(s) Gordon T. Brown

Serial No. 09/975,458

Paper Dated: December 18, 2001

Atty's File No. 47781-6

AGT:ers

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/975,458
Filing Date	10/11/2001
First Named Inventor	Gordon T. Brown
Group Art Unit	
Examiner Name	
Attorney Docket Number	47781-6

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Alan G. Townner Pietragallo, Bosick & Gordon
Signature	
Date	12/18/2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

Typed or printed name			
Signature		Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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GROUP 3600



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Gordon T. Brown

Serial No.: 09/975,458

Filed: October 11, 2001

:
: AUTOMATED ACCOUNTING
: SYSTEM
:
: Attorney Docket No. 47781-6

3/105 copy
LAWYER
COPY

INFORMATION DISCLOSURE STATEMENT

December 18, 2001

VIA HAND DELIVERY

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the provisions of 37 CFR Sections 1.56, 1.97 and 1.98, Applicant submits herewith the attached Forms PTO/SB/08A and PTO/SB/08B for consideration during prosecution of this application. Copies of the cited references are enclosed, except for U.S. Patent No. 5,220,500 Baird et al., which is several hundred pages long. The Baird et al. patent can be found in the file of parent application Serial No.08/313,988, from which the present application claims priority under 35 U.S.C. §120.

Since this statement is being filed within three months of the application filing date, no fee is required pursuant to 37 C.F.R. 1.97(b)(1). However, if a fee is required the Commissioner is authorized to charge Deposit Account 500859.

This Statement is filed solely for the purpose of complying with the pertinent rules of the Office and is not intended to be a substitute for an independent evaluation by the Examiner of the art cited or an independent search by the Examiner, and no representation of any nature is made or intended by the filing of this Statement.

Respectfully submitted,

Alan G. Towner
Registration No. 32,949
Pietragallo, Bosick & Gordon
One Oxford Centre, 38th Floor
301 Grant Street
Pittsburgh, PA 15219
Attorney for Applicant

(412) 263-4340

473578

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3628

TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number		09/975,458
		Filing Date		10/11/2001
		First Named Inventor		Gordon T. Brown
		Art Unit		3628
		Examiner Name		Debra F. Charles
Total Number of Pages in This Submission		Attorney Docket Number		47781-6

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ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	- PTO Form SB-08A
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s)	- 1 Reference
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	- Return Postcard
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Alan G. Towner Petrageallo, Bosick & Gordon	
Signature		
Date	December 18, 2003	

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Alan G. Towner		
Signature		Date	December 18, 2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



#13 w
1-9-04

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 09/975,458
Applicant : Gordon T. Brown
Filed : October 11, 2001
Title : Automated Accounting System
TC/A.U.: : 3628
Examiner : Debra F. Charles

Docket No. : 47781-6
Customer No. : 29694

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GROUP 3600

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

December 18, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313

Dear Sir:

Pursuant to the provisions of 37 CFR Sections 1.56, 1.97 and 1.98, Applicant submits herewith a copy of the reference cited on the attached Form PTO/SB/08A for consideration during prosecution of this application.

This Statement is filed solely for the purpose of complying with the pertinent rules of the Office and is not intended to be a substitute for an independent evaluation by the Examiner of the art cited or an independent search by the Examiner, and no representation of any nature is made or intended by the filing of this Statement.

This Statement is being filed before mailing of a first Office Action on the merits. Accordingly, no fee is submitted herewith. However, if payment of a fee is required, the Commissioner is authorized to charge our Deposit Account No. 500859 for any such fee.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Alan G. Towner".

Alan G. Towner
Registration No. 32,949
Pietragallo, Bosick & Gordon
One Oxford Centre, 38th Floor
301 Grant Street
Pittsburgh, PA 15219
Attorney for Applicant

(412) 263-4340



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 09/975,458 Confirmation No. 9828
Applicant : Gordon T. Brown
Filed : October 11, 2001
Title : AUTOMATED ACCOUNTING SYSTEM
TC/A.U. : 3628
Examiner : Debra F. Charles

Docket No. : 47781-6
Customer No. : 29694

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GROUP 3600

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

October 27, 2004

Dear Sir:

Pursuant to the provisions of 37 CFR Sections 1.56, 1.97 and 1.98, Applicant submits herewith copies of the references cited on the attached Form PTO/SB/08A and Form PTO/SB/08B for consideration during prosecution of this application.

This Statement is being filed after the first Office Action. Therefore, the Commissioner is hereby authorized to charge Deposit Account No. 500859 in the amount of \$180.00.

This Statement is filed solely for the purpose of complying with the pertinent rules of the Office and is not intended to be a substitute for an independent evaluation by the Examiner of the art cited or an independent search by the Examiner, and no representation of any nature is made or intended by the filing of this Statement.

Respectfully submitted,

Alan G. Towner
Registration No. 32,949
Pietragallo, Bosick & Gordon
One Oxford Centre, 38th Floor
301 Grant Street
Pittsburgh, PA 15219
Attorney for Applicant

11/01/2004 HAL111 00000010 500859 09975458
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(412) 263-4340



(Use as many sheets as necessary)

Sheet	1	of	1
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PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0551-0031

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

Application Number	09/975,458
Filing Date	October 11, 2001
First Named Inventor	Gordon T. Brown
Art Unit	3628
Examiner Name	Debra F. Charles
Attorney Docket Number	47781-6

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature	/Bijendra K. Shrestha/	Date Considered	05/04/2009
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. *Applicant's unique citation designation number (optional). *See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 601.04. *Applicant's language and the document, by the two-letter code (WIPO Standard ST.3). *For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. *Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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PTO/SB/08B (08-03)
Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
is a collection of information unless it contains a valid OMB control number.

Complete if Known

Application Number	09/975,458
Filing Date	October 11, 2001
First Named Inventor	Gordon T. Brown
Art Unit	3628
Examiner Name	Debra F. Charles
Attorney Docket Number	47781-6

NON PATENT LITERATURE DOCUMENTS

[illegible]Examiner
Signature

/Bijendra K. Shrestha/

Date
Considered

05/04/2009

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the publication of a trademark in the USPTO's collection of information. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is required to be completed within 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual's circumstances. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-766-9199) and select option 2.

10-11-05

DA/AF 3624
PTO/SB/21 (09-04)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/975,458
Filing Date	October 11, 2001
First Named Inventor	Gordon T. Brown
Art Unit	3624
Examiner Name	Debra F. Charles
Attorney Docket Number	47781-6

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/Declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): - Forms PTO/SB/08A and PTO/SB/08B - 2 documents - return postcard
Remarks <input type="text"/>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Pietrangallo, Bosick & Gordon LLP		
Signature			
Printed name	Alan G. Towner		
Date	October 7, 2005	Reg. No.	32,949

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or printed name	Alan G. Towner	Date	October 7, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



EXPRESS MAIL # ET 859867469 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.	:	09/975,458	Confirmation No. 9828
Applicant	:	Gordon T. Brown	
Filed	:	October 11, 2001	
Title:	:	AUTOMATED ACCOUNTING SYSTEM	
TC/A.U.	:	3624	
Examiner	:	Debra F. Charles	
Docket No.	:	47781-6	
Customer No.	:	29694	

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

October 7, 2005

Dear Sir:

Pursuant to the provisions of 37 CFR Sections 1.56, 1.97 and 1.98, Applicant submits herewith copies of the references cited on the attached Form PTO/SB/08A and Form PTO/SB/08B for consideration during prosecution of this application.

The JP 07085181 A document was cited by the Japanese Patent Office in the corresponding Japanese application.

The Cushing et al. document is a complete copy of the Sixth Edition of an accounting textbook (portions of the Fifth Edition of the Cushing et al. textbook were cited by the Examiner in the currently pending application).

If a fee is due for this submission, the Commissioner is hereby authorized to charge Deposit Account No. 500859 in the appropriate amount.

This Statement is filed solely for the purpose of complying with the pertinent rules of the Office and is not intended to be a substitute for an independent evaluation by the Examiner of the art cited or an independent search by the Examiner, and no representation of any nature is made or intended by the filing of this Statement.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Alan G. Towner', written in a cursive style.

Alan G. Towner
Registration No. 32,949
Pietragallo, Bosick & Gordon
One Oxford Centre, 38th Floor
301 Grant Street
Pittsburgh, PA 15219
Attorney for Applicant

(412) 263-4340

Notice of References Cited	Application/Control No. 09/975,458	Applicant(s)/Patent Under Reexamination BROWN, GORDON T.	
	Examiner BIJENDRA K. SHRESTHA	Art Unit 3691	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-4,823,265	04-1989	Nelson, George E.	705/35
*	B	US-5,117,356	05-1992	Marks, Ronald	705/30
*	C	US-4,321,672	03-1982	Braun et al.	705/42
*	D	US-5,262,942	11-1993	Earle, Dennis M.	705/37
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
 Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.